



# RECORDS RETENTION SCHEDULE



Prepared by  
**STATE RECORDS BRANCH**  
Public Records Division  
Kentucky Department for Libraries and Archives

# RECORDS RETENTION SCHEDULE

## Signature Page

Board of Physical Therapy  
Agency

March 13, 2008  
Schedule Date

Unit

Change Date

March 13, 2008  
Date Approved By Commission

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## APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Rebecca E. Klusch  
Agency Head

3/19/08  
Date of Approval

Rebecca E. Klusch  
Agency Records Officer

3/19/08  
Date of Approval

Barbara Tegen  
State Archivist and Records Administrator  
Director, Public Records Division

13 March 08  
Date of Approval

Wayne Onkitt  
Chairman, State Archives and Records Commission

13 March 2008  
Date of Approval

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The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

John  
Records Analyst/Regional Administrator

13 MAR 08  
Date of Approval

Jim  
Appraisal Archivist

March 13, 2008  
Date of Approval

[Signature]  
State/Local Records Branch Manager

13 Mar 08  
Date of Approval

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The determination as set forth meets with my approval.

Michael Brian Lykins  
Auditor of Public Accounts

March 13, 2008  
Date of Approval

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** March 13, 2008

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Physical Therapy, Board of

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
00940	Physical Therapist and Physical Therapist Assistant Master Folder (C) KRS 61.878 (1)(a) Personal/Medical Info (V)	This series documents those who have completed the necessary requirements to be licensed and to practice physical therapy or assist in the practice of physical therapy pursuant to KRS 327. The Board of Physical Therapy has the responsibility to ensure that physical therapists and physical therapist assistants are properly licensed and have met the requirements of the Board prior to the granting of a license. NOTE: This series incorporates series 04126.	This series may contain: License applications; Diploma; Proof of completion from an accredited school; Exam score; Verification of license or status for endorsement (when moving from another state); Related correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
00944	Applicants Never Licensed File (C) KRS 61.878 (1)(a) Personal/Medical Info	This series documents those individuals submitting an application for licensing to the Board of Physical Therapy, but never completing the licensing process to practice physical therapy in the state of Kentucky.	This series may contain: Application, Correspondence, Exam results, verification of license	Agency: I	Records Center:	Archives Center:
				Destroy 1 year after date of last contact with applicant		
04127	Complaint File (C) KRS 61.878 (1)(a) Personal/Medical Info (V)	This series documents cases where a complaint was filed and a response, or investigation was required, but no disciplinary action is warranted. The information normally should come to the attention of the agency by letter (documented in writing), however, there are a few cases that may be "looked into" because it has been brought to the attention of the executive director or the board in the way of an "unofficial" nature. This file will document action taken regarding a complaint. The Board members and the Executive Director conduct their own investigations. They bring their findings to the Board meetings for review. Results of an investigation will be noted in the Board Minutes (M0008). If the complaint is not resolved through the investigation activity, a special hearing may be called. If there is no disciplinary action taken, the name of the physical therapist under investigation is withheld in the Board Minutes (identified by case number). Complaints resulting in disciplinary action will be documented in the Complaint File Resulting in Disciplinary Action (04128). The file also documents any court action that would take place on unlicensed individuals where a Board hearing is not required.	This series may contain: Summary of Complaint [Complaint #, Date; Complaint Against (Name, address, phone #), Employer's Name, Address, phone #; Method of complaint; Nature of Complaint; Duration of possible violation; Informant; Disposition of case; Date of Initial Board Action; Name of Investigator; Hearing (Yes/No); Final Disposition]; Correspondence to individual advising response; Closing letter; Investigative Report; Correspondence to individual filing complaint; Court documentation (if applicable)	Agency: I	Records Center:	Archives Center:
				Destroy 5 years after closure of case.		

# STATE AGENCY RECORDS RETENTION SCHEDULE

## General Government Physical Therapy, Board of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04128	Complaint File Resulting in Disciplinary Action (C) KRS 61.878 (1)(a) Personal/Medical Info (V)	This series documents that disciplinary action was taken against a licensee due to an initial complaint and investigation. The nature of the discipline may range from an administrative warning or licensed probation to suspension and revocation of license. The Board may call for a special hearing when it is deemed that disciplinary action is required. The disciplinary action is normally done by an Agreed Order (both parties agree to the action as a result of a hearing of the Board of Physical Therapy). If either party elected to appeal the verdict of the hearing, an appeal would be filed in Franklin Circuit Court. KRS 327.070 specifies practice standards to follow by licensees and aids in determining deviations from ethical activity. The information relating to these cases is included in the Board Minutes (M0008), and the individual or parties involved are identified by name.	This series may contain: Investigative information; Complaint Summary (Complaint #, Nature of complaint, disposition of case, Name and address of licensee or organization, informant); Correspondence; Notice of Hearing; Transcript of Hearing; Agreed Order (if applicable); Monitoring reports (Probation)	Agency: I	Records Center:	Archives Center:  Destroy 50 years after closure of case
04129	Litigation File (C) KRS 61.878 (1)(a) Personal/Medical Info (V)	This series documents legal action taken against the Board of Physical Therapy, generally appealing board decision. It may also document legal action initiated by the Board. Appeals of board decisions are made to the Franklin Circuit Court.	This series may contain: Copies of documents found in the complaint file. Related correspondence, investigative information, monitoring reports, Transcript of Hearing, disposition of case and court pleadings.	Agency: I	Records Center:	Archives Center:  Destroy 5 years after closure of case
05757	Renewal Applications File (C) KRS 61.878 (1)(a) Personal/Medical Info (V)	This series documents the application renewal process for licensed Physical Therapists and Physical Therapist Assistants. Pursuant to KRS 327.050 (8) (9), All licenses and certificates shall be renewed biennially, upon payment on or before March 31 of each uneven-numbered year. Licenses and certificates which are not renewed by March 31 of each uneven-numbered year shall lapse.	This series may contain: Renewal application, applicants name, address, affidavit and applicants work location.	Agency: 5	Records Center:	Archives Center:  Destroy after internal audit
05758	Inactive License File (C) KRS 61.878 (1)(a) Personal/Medical Info	This series documents candidates who have completed the necessary requirements to be licensed and to practice physical therapy, or assist in the practice of physical therapy in accordance with KRS 327.050, but did not renew their license. A non-renewal establishes inactive status pursuant to KRS 327.050(9). The Board of Physical Therapy is charged with ensuring that Physical Therapists and Physical Therapist Assistants are properly licensed and have met all requirements of the board to be licensed.	This series may contain: Applications, diploma, proof of completion from an accredited school, exam score, out of state verification (license or status for endorsement) and related correspondence.	Agency: P	Records Center:	Archives Center:  Retain in Agency

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## *Electronic System With Included Records Series*

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**Cabinet Name:** General Government Cabinet

**Department Name:** Kentucky Board of Physical Therapy

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**System Title:** Kentucky Board of Physical Therapy - Licensing System      **Alternate Title:** KBPT-Licensing System

**System Description:** This is a database used to license and regulate physical therapists and physical therapist assistants.

**System Contents:** Database includes all pertinent information on licensees including complaint files on licensees, applicant demographics, license data and statuses on new/renewed/reinstated licenses.

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
00940	Physical Therapist and Physical Therapist Assistant Master Folder	Retain in Agency	P
04127	Complaint File	Destroy 5 years after closure of case.	5
04128	Complaint File Resulting in Disciplinary Action	Destroy 50 years after closure of case	I
04129	Litigation File	Destroy 5 years after closure of case	I
05757	Renewal Applications File	Destroy after internal audit	5
05758	Inactive License File	Retain in Agency	P

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